

Figure 1

Web State Diagram for IF Operations

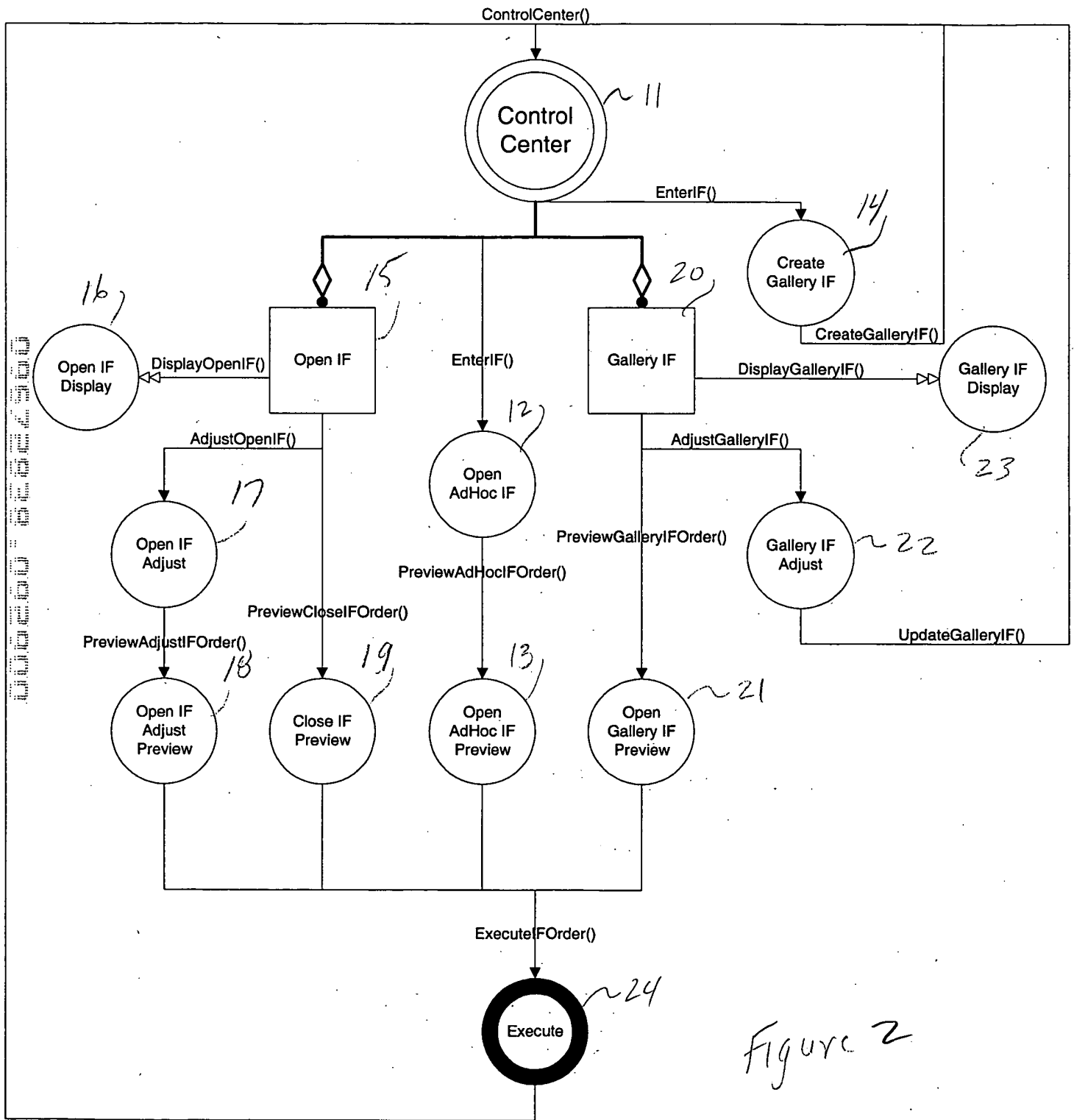


Figure 2

[unx.com]/control center

00000000000000000000

Figure 4

Account: 100026
Customer: UNX.COM, Inc. (100013)

45 ~ 40

Auto Update ☐

Account Summary

Account Balance \$491,146.93 Available Funds \$491,146.93 Long Stock Value \$10,102.00
Account Value \$501,248.93 Buying Power \$491,146.93 Short Stock Value \$0.00

42

Open IF Positions

| Adjust | Name | ID | Date | Status | Initial | NAV | Current | NAV | Gain/Loss | Close |
|--------|-----------|------|------------|--------|------------|---------|-------------|---------|-----------|-------|
| 43 | Tech Trio | 1564 | 06/12/2000 | F | \$9,847.12 | 70.3366 | \$10,102.00 | 72.1571 | \$254.87 | 44 |

50

C - Cancelled F - Filled P - Partial W - Working
Click on an IF Name to display details.

IF Gallery

| Adjust | Name | ID | Date | Side | Type | IFI | CMV |
|--------|-------------------------|--------|------------|------|------|-----|--------------|
| 54 | DOW | 1265 | 06/08/2000 | Long | CAP | NAV | \$200,000.00 |
| | Foss Borthers Small Cap | 1286 | 06/06/2000 | Long | CAP | 100 | \$50,000.00 |
| | Fred's Basket | 1314 | 06/15/2000 | Long | CAP | NAV | \$50,000.00 |
| | LIMCO Fund | 1303 | 06/07/2000 | Long | USR | NAV | \$62,462.50 |
| | Matt's Top 20 | 1307 | 06/08/2000 | Long | DLR | NAV | \$50,000.00 |
| | peter's basket | - 1312 | 06/14/2000 | Long | CAP | NAV | \$50,000.00 |
| | PSM Stocks | 1302 | 06/07/2000 | Long | CAP | NAV | \$50,000.00 |
| | rob's If | 1310 | 06/13/2000 | Long | CAP | NAV | \$100,000.00 |
| | SAAFT End Basket | 1304 | 06/07/2000 | Long | DLR | NAV | \$50,000.00 |
| | Utilities | 1123 | 05/03/2000 | Long | USR | NAV | \$188,275.75 |
| | Willem's nick | 1308 | 06/08/2000 | Long | DLR | NAV | \$500,000.00 |

56

52

587

control center

60

open IF position

62

create gallery IF

64

account history

66

asset search

log out

68

| | | | | | | |
|--------|------|------------|------|-----|-----|--------------|
| Adjust | 1293 | 06/06/2000 | Long | DLR | NAV | Open |
| Adjust | | | | | | \$250,000.00 |

Gallery IFs are staged for fast execution but do not represent open positions.
Click on an IF Name to display details.

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Fig 4 copy

00000000000000000000

Figure 5

Account: 100026
Customer: UNX.COM, Inc. (100013)

- control center
- open IF position
- create gallery IF
- account history
- asset search
- log-out

[unx.com]/enter IF

Open IF Position

IF Name: JR ^{~82}

Dollar Amount: 10000.00 ^{~34}

Share Threshold: 0 ^{~86}

Buy or Sell: Buy ☒ ^{~90}

Asset Weighting: Dollar ☒ ^{~92}

Individual Fund Index Type: NAV (Net Asset Value) ☒ ^{~94}

Lot Size: Odd Lots OK ☒ ^{~96}

Symbols to Order (separated by spaces, commas or returns):

csco ibm ^{~98}

User Defined IFs must have share quantities or composition percentages following each symbol.

Preview Order ^{~102} Clear Order ^{~100}

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[unx.com]/order preview

Account: 100026
Customer: UNX.COM, Inc. (100013)

Figure 6



Open IF Order Preview

Preview generated at: 06/16/2000 11:16:31 Pacific Daylight Time

| Symbol | Quantity | B/S | Current Price | Market Value |
|--------|----------|------|---------------|--------------|
| CSCO | 74 | B | * | \$4,971.88 |
| IBM | 42 | B | * | \$4,887.75 |
| JR | 116 | Open | 84.9968 | \$9,859.62 |

Warning: Executing this order will submit orders for each asset listed in the quantities specified. The pricing information displayed is provided as a base approximation only. The price that your order will actually be executed at may vary widely from these figures. The FLEXII execution system is highly optimized for rapid order execution. Once submitted you will not be able to cancel this order. This is your last chance to cancel the above order. This order is not pending and will not be executed unless you click the Execute Order button below.

Execute Order

Cancel Order

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[unx.com]/execution status

Account: 100026
Customer: UNX.COM, Inc. (100013)

control
center

open IF
position

create
gallery IF

account
history

asset
search

log-out

IF Order Executing

Your order has been submitted for execution.

You should receive an order confirmation by email shortly. You may also navigate to the Account Summary page to view your current order status.

Your Individual Fund Order ID is: 1695

Account Summary

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228

Figure 7

00000000000000000000

Randy Abernethy

From: FLEXII@UNX.COM
Sent: Thursday, June 22, 2000 11:37 AM
To: ITAlert@unx.com, randy@unx.com, irene@unx.com
Subject: Confirmation for IF: 1695

IF Trade Confirmation

Broker: Universal Network Exchange, LLC. *241*
Account ID: 100026 *242*
Customer Name: UNX.COM, Inc. *243*
Customer ID: 100013 *244*
Contact ID: 100045 *245*
Position: Open *246*
Trade Date: 06/22/2000 *247*
Settle Date: 06/27/2000 *248*
Email Date: 06/22/2000 10:36:35 Pacific Daylight Time *249*
Email List: ITAlert@unx.com, randy@unx.com, irene@unx.com *250*

| ID | Symbol | Description | CUSIP | Time | Side | Shares | Price | Principal | Comm | Fee | Net Money |
|-------|--------|---------------------------|-----------|----------|------|--------|----------|------------|-------|------|------------|
| 63223 | AOL | AMERICA ONLINE INC. | 02364J104 | 10:35:48 | BUY | 200 | 57.0000 | 11,400.00 | 10.00 | 0.00 | 11,410.00 |
| 63221 | CSCO | CISCO SYSTEMS, INC. | 17275R102 | 10:35:48 | BUY | 800 | 65.6250 | 52,500.00 | 20.00 | 0.00 | 52,520.00 |
| 63224 | DELL | DELL COMPUTER CORPORATION | 247025109 | 10:35:48 | BUY | 300 | 49.5000 | 14,850.00 | 10.00 | 0.00 | 14,860.00 |
| 63222 | IBM | IBM | 459200101 | 10:35:48 | BUY | 200 | 113.1250 | 22,625.00 | 10.00 | 0.00 | 22,635.00 |
| 1695 | | RBHot | | | | 1500 | 67.5833 | 101,375.00 | 50.00 | 0.00 | 101,425.00 |

230 ↑ *231* ↑ *232* ↑
233 ↑ *234* ↑ *235* ↑ *236* ↑ *237* ↑
238 ↑ *239* ↑ *240* ↑ *241* ↑

229
Figure 8

[illegible]Account: 1000000

Customer: **Oscarito Family Limited Partnership (100003)**

☐ /adjust SB

☐ conl ☐ opei ☐ cree ☐ acci ☐ assi ☐ log

Stock Basket Balancer

Enter a positive Inflow/Outflow dollar (USD) amount to add principal to the SB. Enter a negative Inflow/Outflow dollar (USD) amount to remove principal from the SB. Use the "Share Threshold" to enter a minimum number of shares to trade. Select "Do not close to Rebalance" to keep (rather than trimming back) over balanced positions. Select Round Lots Only to round all trades to the nearest 100 shares. To add securities to the SB, enter additional symbols in the Symbols text box. To remove securities from the SB, remove symbols from the Symbols text box. All weighting mechanisms other than "Use: Defined" will automatically reweight assets in the SB.

Inflow/Outflow:

0.00

~264

Asset Weighting:

Dollar

Stare Threshold:

0.268

Do not close to Rebalance:

2707

Round Lots Only:

272

Symbols:

NITE
INRS
DCLK
EXDS
YHOO
AEIS
CMGI
FIBR

Preview Order

Cancel Order

Current Positions

| Symbol | Quantity | B/S | Current Price | Market Value |
|--------|----------|-----|---------------|--------------|
| NITE | 860 | B | • | \$29,777.50 |
| | | | | Move |
| INRS | 598 | B | • | \$50,199.00 |
| | | | | Move |
| DCLK | 894 | B | • | \$30,340.13 |
| | | | | Move |
| INCO | 607 | B | • | \$29,705.06 |
| | | | | Move |

Figure 9

260

262

27.76

273

| | | | | | |
|------|-------|---|---------|--------------|-------|
| YHOC | 313 | B | | \$29,461.13 | Move. |
| AEIS | 858 | B | * | \$30,030.00 | Move. |
| CMGI | 1,003 | E | * | \$29,149.69 | Move. |
| FIBR | 1,162 | E | * | \$29,631.00 | Move. |
| GNET | 552 | B | * | \$29,670.00 | Move. |
| LCOS | 427 | B | * | \$29,729.88 | Move. |
| B10 | 7,274 | | | \$297,393.38 | |
| | | | 40,9267 | | |

Figure 9 cont.

~~SECRET~~

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[unx.com]/close IF

Account: 100026
Customer: UNX.COM, Inc. (100013)

Figure 10
280

Close IF Order

Preview generated at: 06/19/2000 15:33:00 Pacific Daylight Time

| Symbol | Quantity | B/S | Current Price | Market Value | Close |
|-----------|----------|-------|---------------|--------------|-------|
| CSCO | (89) | S | * | \$6,129.88 | 284 |
| IBM | (22) | S | * | \$2,631.75 | 284 |
| AOL | (29) | S | * | \$1,576.88 | 284 |
| Tech Trio | 140 | Close | 73.8464 | \$10,338.50 | 286 |

Warning: Executing this order will submit orders for each asset listed in the quantities specified. The Expected pricing information is provided as a base approximation only. The price that your order will actually be executed at may vary widely from these figures. The FLEXII execution system is highly optimized for rapid order execution. Once submitted you will not be able to cancel this order. This is your last chance to cancel the above order. This order is not pending and will not be executed unless you click the Execute Order button below.

control center

open IF position

create gallery IF

account history

asset search

log out

Execute Order

290

Cancel Order

286

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[illegible]

[unix.com]/search

Customer: UNX.COM, Inc. (100013)

Figure 11
330

control center

332

CSC0

Start Search

334

open IF position

**create
gallery IF**

account history

asset search

log-out

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[illegible]

[unix.com]/search results

Account: 100026
Customer: UNX.COM, Inc. (100013)

Figure 12

3347

Asset Search

Asset Symbol:

Start Search

342

Open Positions for Symbol: CSCO

| ID | Entered At | Qty | Initial | Total | Current | Total | Gain/Loss | IF ID | Close |
|-------|---------------------|-----|---------|------------|---------|------------|-----------|-------|-------|
| 57708 | 06/12/2000 12:21:18 | 89 | 63.7500 | \$5,673.75 | * | \$5,985.25 | \$311.50 | 1564 | Close |
| | Totals: | 89 | 63.7500 | \$5,673.75 | * | \$5,985.25 | \$311.50 | | |

Click on an IF ID to display IF details.

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<https://www.unx.com/trading/F2Web.dll?AssetSearchProcessing>

06/16/2000

[unx.com]/open IF

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Account: 100026
Customer: UNX.COM, Inc. (100013)

380

Figure 13

382



Open IF Order

Preview generated at: 06/16/2000 11:29:32 Pacific Daylight Time

| Symbol | Quantity | B/S | Current Price | Market Value |
|--------|----------|------|---------------|--------------|
| AA | 37 | B | * | \$1,184.00 |
| AXP | 69 | B | * | \$3,635.44 |
| T | 162 | B | * | \$5,447.25 |
| BA | 47 | B | * | \$1,844.75 |
| CAT | 18 | B | * | \$655.87 |
| C | 174 | B | * | \$10,918.50 |
| KO | 128 | B | * | \$7,136.00 |
| DD | 54 | B | * | \$2,558.25 |
| EK | 16 | B | * | \$953.00 |
| XOM | 180 | B | * | \$15,120.00 |
| GE | 512 | B | * | \$26,496.00 |
| GM | 32 | B | * | \$2,068.00 |
| HD | 119 | B | * | \$5,927.69 |
| HON | 41 | B | * | \$2,065.38 |
| HWP | 51 | B | * | \$5,925.56 |
| IBM | 91 | B | * | \$10,573.06 |
| INTC | 173 | B | * | \$22,273.75 |
| IP | 21 | B | * | \$694.31 |
| JPM | 8 | B | * | \$962.00 |
| JNJ | 72 | B | * | \$6,498.00 |
| MCD | 69 | B | * | \$2,233.88 |
| MRK | 119 | B | * | \$8,634.94 |
| MSFT | 272 | B | * | \$19,839.00 |
| MMM | 20 | B | * | \$1,712.50 |
| MO | 118 | B | * | \$3,127.00 |
| PG | 67 | B | * | \$3,760.38 |
| SBC | 176 | B | * | \$8,426.00 |
| UTX | 24 | B | * | \$1,443.00 |
| WMT | 231 | B | * | \$12,690.56 |
| DIS | 107 | B | * | \$4,453.88 |
| DOW | 3,208 | Open | 62.1128 | \$199,257.94 |

Warning: Executing this order will submit orders for each asset listed in the quantities specified. The pricing information displayed is provided as a base approximation only. The price that your order will actually be executed at may vary widely from these figures. The FLEXII execution system is highly optimized for rapid order execution. Once submitted you will not be able to cancel this order. This is your last chance to cancel the above order. This order is not pending and will not be executed unless you click the Execute Order button below.

Execute Order

Cancel Order

506

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Fig 13 continued

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Figure 11

4/10

Open IF Detail

Broker: Universal Network Exchange, LLC. Customer Name: UNX.COM, Inc.
Account ID: 100026 Customer ID: 100013
Position: Open Display Date: 06/19/2000 15:29:13 Pacific Daylight Time

Assets Executions

| ID | Name/Symbol | Date/Time | Shares | Price | Principal | Comm | Fee | Net Money | CMV | Gain/Loss |
|-------|-------------|---------------------|--------|----------|-----------|-------|------|-----------|-----------|-----------|
| 1564 | Tech Trio | 06/12/2000 12:21:18 | 140 | 70.3366 | 9,847.12 | 30.00 | 0.00 | 9,877.12 | 10,364.19 | 487.06 |
| 57710 | AOL | 06/12/2000 12:21:18 | 29 | 52.8750 | 1,533.38 | 10.00 | 0.00 | 1,543.38 | 1,580.50 | 37.13 |
| 57708 | CSCO | 06/12/2000 12:21:18 | 89 | 63.7500 | 5,673.75 | 10.00 | 0.00 | 5,683.75 | 6,135.44 | 451.69 |
| 57709 | IBM | 06/12/2000 12:21:18 | 22 | 120.0000 | 2,640.00 | 10.00 | 0.00 | 2,650.00 | 2,648.25 | (1.75) |

(Click any row to collapse/expand children)

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4/12

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Figure 15

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Open IF Detail

Broker: Universal Network Exchange, LLC. Customer Name: UNX.COM, Inc.
Account ID: 100026 Customer ID: 100013
Position: Open Display Date: 06/19/2000 15:29:13 Pacific Daylight Time

| Assets | Executions |
|--------|------------|
|--------|------------|

| ID | Name/Symbol | Date/Time | Shares | Price | Principal | Comm | Fee | Net Money | CMV | Gain/Loss |
|-------|-------------|---------------------|--------|----------|-----------|-------|------|-----------|-----------|-----------|
| 57710 | Tech Trio | 06/12/2000 12:21:18 | 140 | 70.3366 | 9,847.12 | 30.00 | 0.00 | 9,877.12 | 10,364.19 | 487.06 |
| 57710 | AOL | 06/12/2000 12:21:18 | 29 | 52.8750 | 1,533.38 | 10.00 | 0.00 | 1,543.38 | 1,580.50 | 37.12 |
| 57708 | AOL | 06/12/2000 12:21:23 | 29 | 52.8750 | 1,533.38 | 10.00 | 0.00 | 1,543.38 | | |
| 57708 | CSCO | 06/12/2000 12:21:18 | 89 | 63.7500 | 5,673.75 | 10.00 | 0.00 | 5,683.75 | 6,135.44 | 451.69 |
| 57709 | CSCO | 06/12/2000 12:21:35 | 89 | 63.7500 | 5,673.75 | 10.00 | 0.00 | 5,683.75 | | |
| 57709 | IBM | 06/12/2000 12:21:18 | 22 | 120.0000 | 2,640.00 | 10.00 | 0.00 | 2,650.00 | 2,644.25 | (1.75) |
| 57709 | IBM | 06/12/2000 12:21:25 | 22 | 120.0000 | 2,640.00 | 10.00 | 0.00 | 2,650.00 | | |

(Click any row to collapse/expand children)

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[unx.com]/history

[unx]/history

Universal Network Exchange

Account: 100000

Customer: Oscarito Family Limited Partnership (100003)

control
centeropen SB
positioncreate
gallery SBaccount
historyasset
search

log-out

Account History

By SB

| | | |
|-------------|---------|-------------|
| Start Date: | 9/20/00 | |
| Stop Date: | 9/30/00 | All SBs |
| IF Name: | DOW10 | Name Lookup |
| IF ID: | | ID Lookup |

By Asset

| | | |
|-------------|--|---------------|
| Start Date: | | |
| Stop Date: | | All Assets |
| Symbol: | | Symbol Lookup |
| Asset ID: | | ID Lookup |

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FLEXI, VUIQade I
Exchange and Tradem

Figure 16a

[unx]/history

Universal Network Exchange

Account: 100000
Customer: Oscailto Family Limited Partnership (10C003)

SB History

| Name | ID | Open Date | Close Date | Buy Net/Open | Sell Net/CMV | Gain/Loss |
|--------|------|------------|------------|----------------|----------------|--------------|
| B2C | 2797 | 09/28/2000 | Open | \$399,565.39 | \$400,015.09 | \$449.71 |
| B10 | 2796 | 09/28/2000 | Open | \$300,104.18 | \$299,725.94 | (\$378.24) |
| Qshort | 2751 | 09/28/2000 | 09/28/2000 | \$74,175.00 | \$72,660.33 | (\$1,514.67) |
| T5 | 2750 | 09/27/2000 | Open | \$499,867.01 | \$511,884.67 | \$12,023.66 |
| B20 | 2717 | 09/22/2000 | 09/25/2000 | \$400,014.22 | \$398,989.12 | (\$1,025.10) |
| Nshort | 2684 | 09/21/2000 | Open | \$39,080.73 | (\$40,337.50) | (\$1,856.77) |
| Total: | | | | \$1,634,639.07 | \$1,642,337.56 | \$7,698.58 |

Click on an SB ID to display SB details.

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Figure 16b

AL [Signature]

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[unix]/history

Universal Network Exchange

Account: 100000
Customer: Oscatito Family Limited Partnership (100003)

SB History

| Name | ID | Open Date | Close Date | Buy Net/Open | Sell Net/CMV | Gain/Loss |
|------------|------|------------|------------|----------------|----------------|---------------|
| <u>B10</u> | 2796 | 09/23/2000 | Open | \$330,104.18 | \$299,725.94 | (\$376.24) |
| <u>B10</u> | 2869 | 09/19/2000 | 09/21/2000 | \$331,200.58 | \$292,514.83 | (\$8,685.75) |
| <u>B10</u> | 2584 | 09/13/2000 | 09/15/2000 | \$300,050.74 | \$293,843.83 | (\$6,203.91) |
| <u>B10</u> | 2519 | 09/07/2000 | 09/08/2000 | \$299,165.44 | \$286,076.13 | (\$13,089.31) |
| <u>B10</u> | 2439 | 08/30/2000 | 09/05/2000 | \$299,663.23 | \$298,273.26 | (\$1,389.97) |
| <u>B10</u> | 2426 | 08/28/2000 | 08/29/2000 | \$300,553.78 | \$298,189.53 | (\$2,384.26) |
| <u>B12</u> | 2272 | 08/11/2000 | 08/25/2000 | \$301,240.60 | \$329,694.75 | \$28,454.15 |
| <u>B12</u> | 2186 | 08/04/2000 | 08/09/2000 | \$300,157.49 | \$308,520.16 | \$8,362.67 |
| <u>B10</u> | 2127 | 07/31/2000 | 08/01/2000 | \$300,394.14 | \$292,036.81 | (\$8,357.33) |
| <u>B10</u> | 2051 | 07/25/2000 | 07/27/2000 | \$300,278.22 | \$296,020.69 | (\$4,255.53) |
| <u>B10</u> | 2009 | 07/20/2000 | 07/21/2000 | \$300,309.42 | \$287,653.01 | (\$12,616.41) |
| Total: | | | | \$3,303,115.60 | \$3,282,571.92 | (\$20,543.69) |

Click on an SB ID to display SB details.

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Figure 16c

#17171717

Customer: **Oscarlo Family Limited Partnership (100003)**

control center

BS 1500

B5 Avojele

history account

os set
search

109-0501

Figure 16d

9855655818

09/28/2007 21:44

9/28/2000

<https://www.unx.com/trading/F2Web.dll?LFHistoryProcessing>

[unix]/history

Universal Network Exchange

00000000000000000000

Account: 1000000

Customer: Oscario Family Limited Partnership (1000003)

Figure lbe

Asset History

| ID | Symbol | Entered At | Qty | Price | Total | IF ID |
|--------|--------|---------------------|-------|----------|-------------|-------|
| 109982 | EXDS | 09/28/2000 12:53:59 | 405 | 49.3438 | \$19,984.22 | 2797 |
| 109983 | RNWK | 09/28/2000 12:53:59 | 492 | 40.5938 | \$19,972.13 | 2797 |
| 109980 | PVN | 09/28/2000 12:53:59 | 154 | 29.6250 | \$19,962.25 | 2797 |
| 109981 | RSAS | 09/28/2000 12:53:59 | 437 | 45.8072 | \$20,017.75 | 2797 |
| 109979 | ITWO | 09/28/2000 12:53:59 | 104 | 190.5000 | \$19,812.00 | 2797 |
| 109978 | MWD | 09/28/2000 12:53:59 | 222 | 90.0000 | \$19,980.00 | 2797 |
| 109977 | LCOS | 09/28/2000 12:53:59 | 284 | 70.2188 | \$19,942.13 | 2797 |
| 109976 | FWJ | 09/28/2000 12:53:59 | 285 | 70.1875 | \$20,003.44 | 2797 |
| 109974 | MER | 09/28/2000 12:53:59 | 306 | 65.1875 | \$19,947.38 | 2797 |
| 109975 | SCH | 09/28/2000 12:53:59 | 569 | 35.1250 | \$19,986.13 | 2797 |
| 109972 | CMGI | 09/28/2000 12:53:59 | 668 | 29.9083 | \$19,977.38 | 2797 |
| 109973 | INKT | 09/28/2000 12:53:59 | 168 | 118.3817 | \$19,888.12 | 2797 |
| 109971 | TERN | 09/28/2000 12:53:59 | 576 | 34.8422 | \$20,069.12 | 2797 |
| 109970 | DLJ | 09/28/2000 12:53:59 | 223 | 89.4375 | \$19,944.56 | 2797 |
| 109969 | MJSE | 09/28/2000 12:53:59 | 95 | 209.5000 | \$19,902.50 | 2797 |
| 109967 | AFCI | 09/28/2000 12:53:59 | 525 | 38.0423 | \$19,972.34 | 2797 |
| 109968 | VXT | 09/28/2000 12:53:59 | 470 | 42.5000 | \$19,975.00 | 2797 |
| 109966 | LEH | 09/28/2000 12:53:59 | 135 | 147.2500 | \$19,878.75 | 2797 |
| 109965 | MRVC | 09/28/2000 12:53:59 | 421 | 47.8539 | \$20,146.50 | 2797 |
| 109964 | ZRAN | 09/28/2000 12:53:59 | 384 | 52.0303 | \$9,979.63 | 2796 |
| 109962 | GNET | 09/28/2000 12:53:52 | 562 | 54.3125 | \$29,980.50 | 2796 |
| 109963 | LCOS | 09/28/2000 12:53:52 | 427 | 70.1329 | \$29,946.75 | 2796 |
| 109960 | CMGI | 09/28/2000 12:53:52 | 1,003 | 29.9219 | \$30,011.63 | 2796 |

Handwritten signature

9/28/2000

| | | | | | | |
|--------|------|---------------------|---------|----------|---------------|------|
| 109961 | FIBR | 09/28/2000 12:53:52 | 1,162 | 25,8125 | \$29,994.13 | 2796 |
| 109959 | AEIS | 09/28/2000 12:53:52 | 858 | 35.0000 | \$30,030.00 | 2796 |
| 109957 | EXDS | 09/28/2000 12:53:52 | 607 | 49.3438 | \$29,951.66 | 2796 |
| 109956 | YHOO | 09/28/2000 12:53:52 | 313 | 95.7300 | \$25,963.50 | 2796 |
| 109955 | DCLK | 09/28/2000 12:53:52 | 894 | 33.5638 | \$30,006.06 | 2796 |
| 109954 | INRS | 09/28/2000 12:53:52 | 598 | 50.2398 | \$30,043.38 | 2796 |
| 109953 | NITE | 09/28/2000 12:53:52 | 880 | 34.8750 | \$29,992.50 | 2796 |
| 108484 | NOK | 09/28/2000 11:58:49 | 500 | 41.1875 | \$20,593.75 | 2384 |
| 108483 | NOK | 09/28/2000 11:55:16 | 500 | 41.1875 | \$20,593.75 | 2384 |
| 108482 | QCOM | 09/28/2000 10:53:52 | 500 | 74.8750 | \$37,437.50 | 2751 |
| 108481 | QCOM | 09/28/2000 03:01:49 | 500 | 73.4250 | \$36,712.50 | 2751 |
| 108480 | NOK | 09/28/2000 08:54:37 | 2,000 | 40.3750 | \$80,750.00 | 2684 |
| 108479 | SUNW | 09/28/2000 08:45:52 | 158 | 120.4374 | \$18,788.24 | 2750 |
| 108477 | MSFT | 09/28/2000 08:45:52 | 314 | 81.6222 | \$19,349.38 | 2750 |
| 108478 | ORCL | 09/28/2000 08:45:52 | 263 | 79.3450 | \$21,867.81 | 2750 |
| 108476 | INTC | 09/28/2000 08:45:52 | 447 | 44.2220 | \$19,767.25 | 2750 |
| 108475 | CSCO | 09/28/2000 08:45:52 | 371 | 56.9375 | \$21,123.81 | 2750 |
| 108474 | NOK | 09/28/2000 07:34:12 | (1,000) | 39.5625 | (\$39,562.50) | 2684 |
| 108473 | QCOM | 09/28/2000 07:00:46 | (1,000) | 72.6878 | (\$72,687.75) | 2751 |
| 108472 | NOK | 09/28/2000 06:59:54 | (1,000) | 39.3750 | (\$38,375.00) | 2684 |
| 108471 | SUNW | 09/27/2000 2:56:57 | 677 | 118.0625 | \$79,928.31 | 2750 |
| 108469 | MSFT | 09/27/2000 12:58:57 | 1,318 | 60.6563 | \$79,944.94 | 2750 |
| 108470 | ORCL | 09/27/2000 12:56:57 | 1,002 | 79.7813 | \$79,940.81 | 2750 |
| 108467 | CSCO | 09/27/2000 12:56:57 | 1,393 | 57.4103 | \$79,972.94 | 2750 |
| 108468 | INTC | 09/27/2000 12:56:57 | 1,824 | 43.8438 | \$79,971.00 | 2750 |

Totals: 22,962 (\$1,243,378.20)

Click on an IF ID to display IF details.

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[Signature]

9/28/2000

<https://www.urx.com/trading/F2Web.dll?AssetHistoryProcessing>

16c (cont'd)

Universal Network Exchange

Customer: **Oscarito Family Limited Partnership (100003)**

109-011

| Entered At | Qty | Price | Total | IF ID |
|---------------------|-------|---------|---------------|-------------|
| 09/28/2000 06:45:52 | 371 | 56.9375 | \$21,123.81 | <u>2750</u> |
| 09/27/2000 12:56:57 | 1,393 | 57.4106 | \$79,972.94 | <u>2750</u> |
| 09/21/2000 12:56:51 | (969) | 61.1460 | (\$59,252.37) | <u>2668</u> |
| 09/21/2000 07:05:43 | (652) | 62.0625 | (\$40,464.75) | <u>2668</u> |
| Totals: | 43 | | (\$1,379.63) | |

Click on an IF ID to display IF details.

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Figure 16f



[unx]/history

Universal Network Exchange

Account: 1000000
Customer: Oscanito Family Limited Partnership (100003)

Asset History

- control center
- open SB position
- create gallery SB
- account history
- asset search
- log-out

| ID | Symbol | Entered At | Qty | Price | Total | IF ID |
|---------|--------|---------------------|-------|---------|---------------|-------|
| 105258 | CSCO | 09/21/2000 07:05:43 | (852) | 62.0625 | (\$40,464.75) | 2360 |
| Totals: | | | (852) | | \$40,464.75 | |

Click on an IF ID to display IF details.

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Exchange are trademarks of UNX.COM Inc. Patent Pending

Figure 169

7/26/2000

[illegible]

Account: 100026
Customer: UNX.COM, Inc. (100013)

100-501

Current IF: Aggressive Growth (3293)

Select target IF from Gallery

| Name | ID | Date | Side | Type | IFI | CMV | Rotate To: |
|-------------------|------|------------|-------|------|-----|--------------|----------------|
| <u>DOW</u> | 1265 | 07/25/2000 | Long | PRI | NAV | \$200,000.00 | <u>Preview</u> |
| <u>Growth 10</u> | 1345 | 06/29/2000 | Long | CAP | NAV | \$100,000.00 | <u>Preview</u> |
| <u>max basket</u> | 1403 | 07/17/2000 | Long | DLR | NAV | \$10,000.00 | <u>Preview</u> |
| <u>PSM Stocks</u> | 1302 | 06/27/2000 | Long | CAP | NAV | \$50,000.00 | <u>Preview</u> |
| <u>Wired</u> | 1317 | 06/27/2000 | Short | DLR | NAV | \$100,000.00 | <u>Preview</u> |

Gallery IFs are staged for fast execution but do not represent open positions.
Click on an IF Name to display details.

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Figure 18

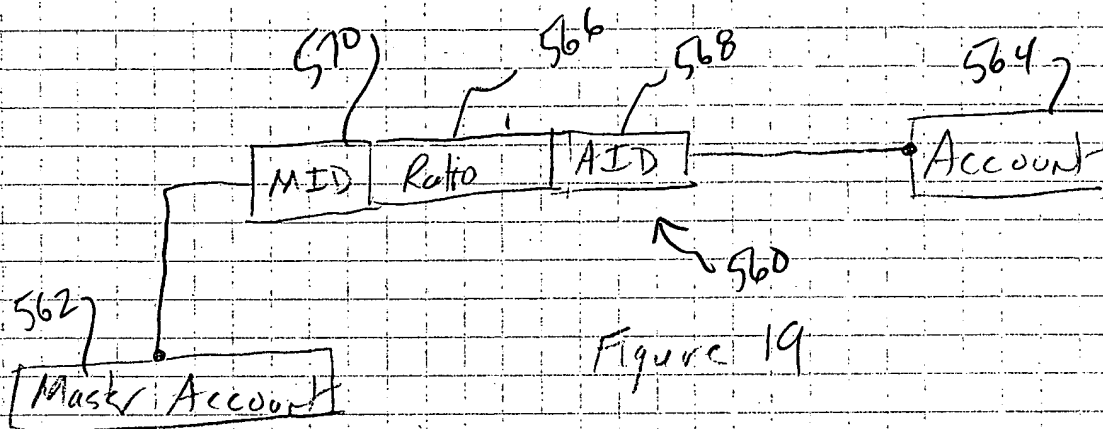
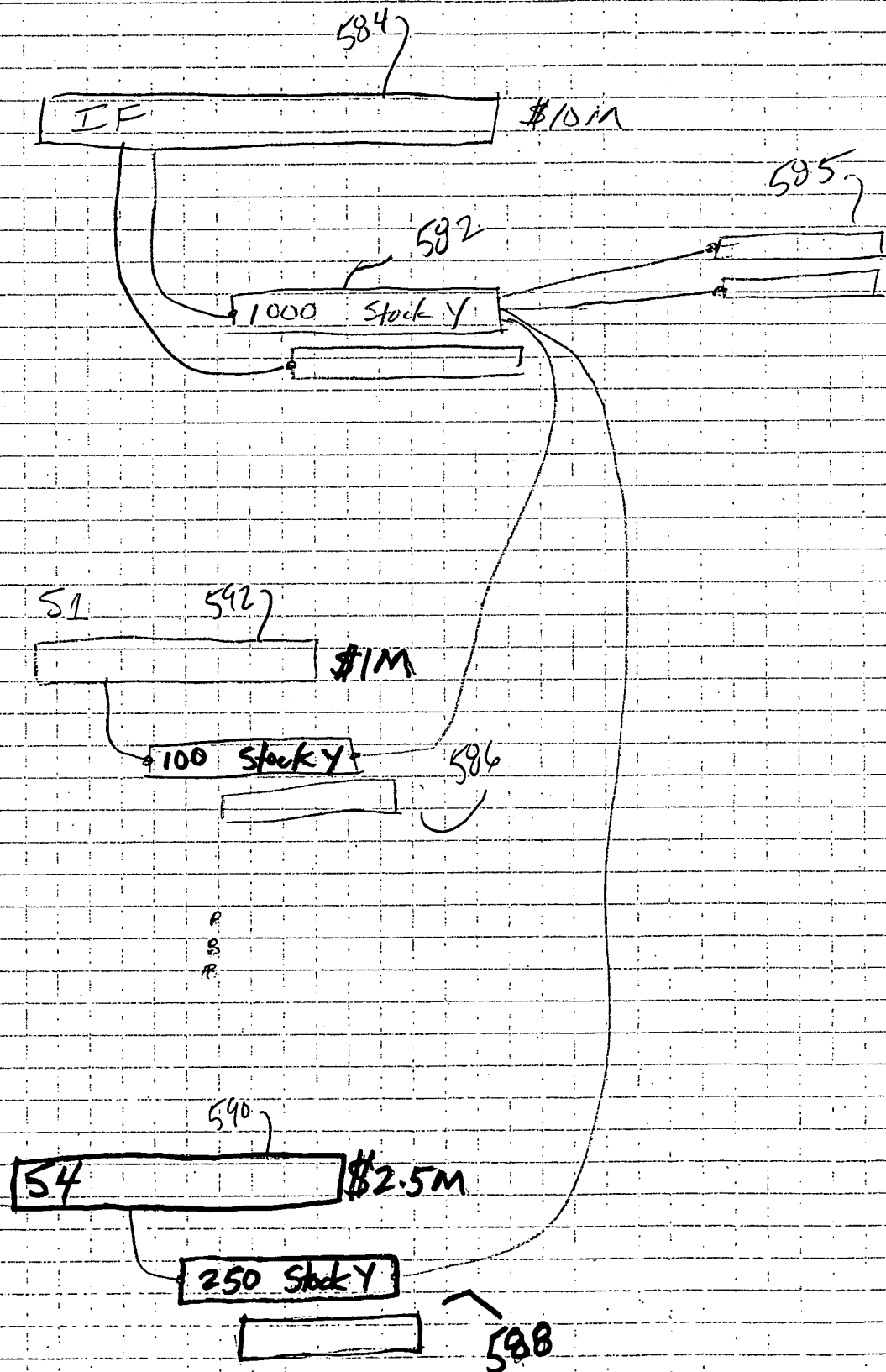


Figure 20



00000000000000000000

[unx.com] /subaccount contribution

602

| Account ID | Type | Status | Customer ID | Customer Name | Principal | |
|------------|--------|--------|-------------|--------------------|-------------|----------------------|
| 100012 | Margin | Open | 100013 | Teldar Paper, Inc. | \$65,000 | View |
| 100014 | Margin | Open | 100013 | The Gecko Family | \$1,235,000 | View |
| 100019 | Cash | Open | 100013 | Darryl Smith | \$55,000 | View |
| 100026 | Cash | Open | 100013 | The Simpson Trust | \$85,678 | View |

604



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600

Figure 21

[unix.com]/enter IF

Account: 100026

Customer: UNX.COM, Inc. (100013)

Open IF Position

control
centeropen IF
positioncreate
gallery IFaccount
historyasset
search

log-out

IF Name:

Tech10 ~612

Maximum Dollar Amount:

1000000 ~614

Minimum Dollar Amount:

10000 ~616

Buy or Sell:

Buy ☒ ~618

Market Order:

☐ ~620

Limit Order:

☒ ~622

Limit Order NAV:

75.50 ~622

Stop:

☒ ~624

Stop NAV:

75.00 ~626

Asset Weighting:

CAP ~628

Allowed Variance:

10 ~630

Time In Force:

99999 ~632

Symbols to Order (separated by spaces, commas or returns):

MSFT
INTC
DELL
CSCO
IBM
HWP
WCOM
CPQ
ORCL
SUNW

User Defined IFs must have share quantities or composition percentages following each symbol.

Preview Order ~636

Clear Order ~638

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Figure 22

[illegible]

[unx.com]/gallery

259

→

*Gallery IFs are staged for fast execution but do not represent open positions.
Click on an IF Name to display details.*

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650

Figure 23

[unx.com]/enter IF

Account: 100026

Customer: UNX.COM, Inc. (100013)

Open IF Position

control
centeropen IF
positioncreate
gallery IFaccount
historyasset
search

log-out

IF Name: Custom Routing

Dollar Amount: 100000

ShareThreshold: 50

Buy or Sell: Buy ☒

Asset Weighting: Dollar ☒

Individual Fund Index Type: NAV (Net Asset Value) ☒

Lot Size: Odd Lots OK ☒

Symbols to Order (separated by spaces, commas or returns):

| | |
|------|-------|
| INTC | #ISLD |
| CSCO | #SLKC |
| MSFT | |
| DELL | #NITE |
| WCII | |
| VRTS | #REDI |

User Defined IFs must have share quantities or composition percentages following each symbol.

Preview Order

Clear Order

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Exchange are Tradem

Figure 24

Microsoft Excel - Book1

File Edit View Insert Format Tools
Data Window Help

Arial

A1

| | A | B | C |
|----|------|-------|---|
| 1 | | | |
| 2 | INTC | #SLD | |
| 3 | CSCO | #SLKC | |
| 4 | MSFT | | |
| 5 | DELL | #NITE | |
| 6 | WCII | | |
| 7 | VRTS | #REDI | |
| 8 | | | |
| 9 | | | |
| 10 | | | |
| 11 | | | |
| 12 | | | |
| 13 | | | |
| 14 | | | |

Sheet1

← 672

Figure 25

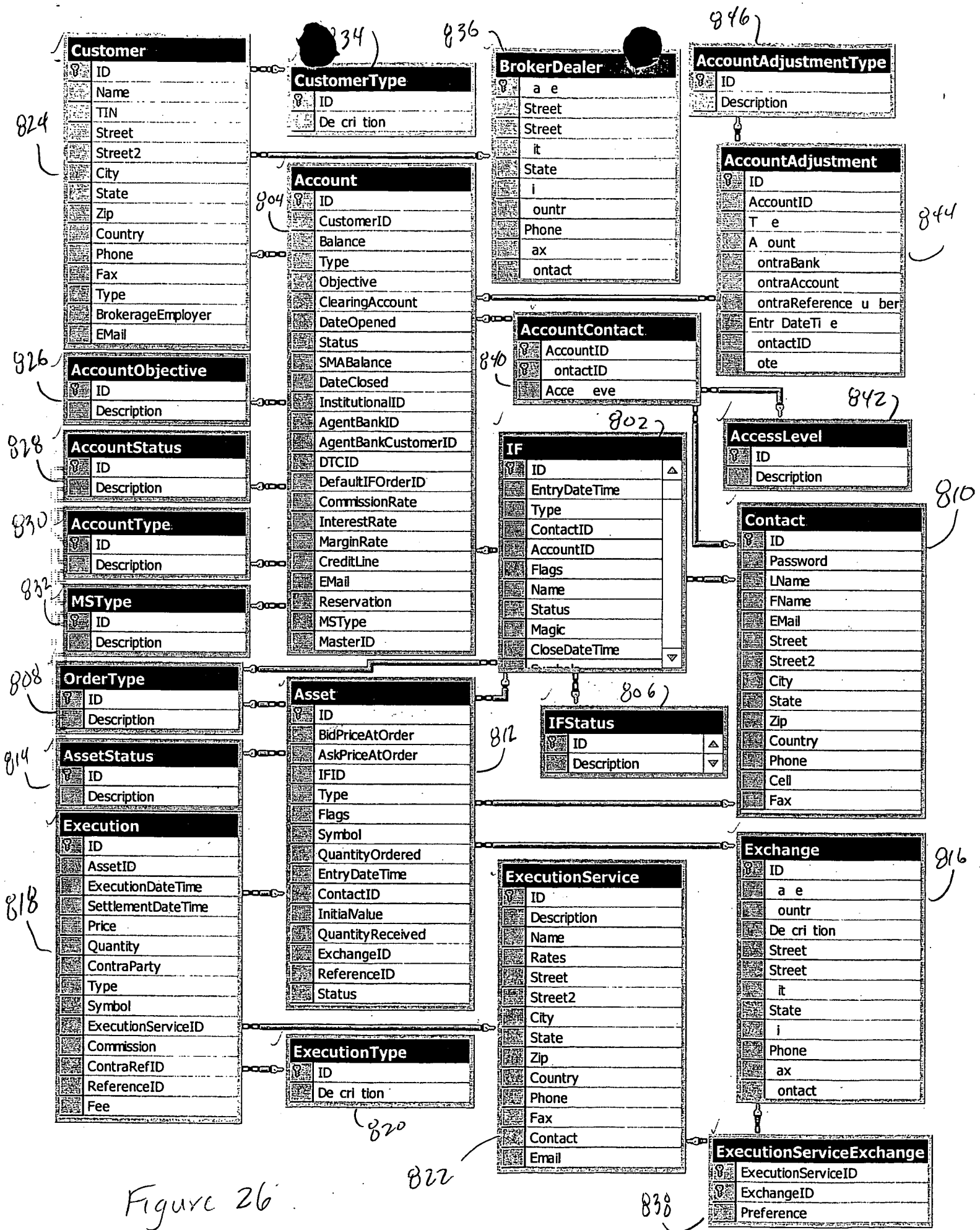


Figure 26

860

Figure 27.